

BAKER BOTTS

02-11-02

Please type a plus sign (+) inside this box



02/12/02  
U.S. PAT.

# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. A34759 069906.0102

First Inventor Mitchell et al.

Title METHODS AND \* see attached

Express Mail Label No. EU206386407US

10/075028 PRO

10/075028 PRO

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1.  Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)
2.  Applicant claims small entity status.  
See 37 CFR 1.27.
3.  Specification [Total Pages 40]  
(preferred arrangement set forth below)
  - Descriptive title of the invention
  - Cross Reference to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to sequence listing, a table, or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
4.  Claim(s) [ Total Sheets 4 ]
5.  Abstract of the Disclosure [ Total Sheets 1 ]
6.  Drawing(s) (35 U.S.C. 113) [ Total Sheets 10 ]
7.  Oath or Declaration [ Total Pages 3 ]
- a.  Unexecuted Combined Declaration and POA
- b.  Copy from a prior application (37 CFR 1.63 (d))  
(for continuation/divisional with Box 18 completed)
- i.  **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
8.  Application Data Sheet. See 37 CFR 1.76

ADDRESS TO: Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

7.  CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
  - a.  Computer Readable Form (CRF)
  - b. Specification Sequence Listing on:
    - i.  CD-ROM or CD-R (2 copies); or
    - ii.  paper
  - c.  Statements verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

9.  Assignment Papers (cover sheet & document(s))
10.  37 CFR 3.73(b) Statement  Power of (when there is an assignee)  Attorney
11.  English Translation Document (if applicable)
12.  Information Disclosure Statement (IDS)/PTO-1449  Copies of IDS Citations
13.  Preliminary Amendment
14.  Return Receipt Postcard (MPEP 503) (Should be specifically itemized)
15.  Certified Copy of Priority Document(s) (if foreign priority is claimed)
16.  Request and Certification under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
17.  Other: .....

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

 Continuation    Divisional    Continuation-in-part (CIP)

of prior application No.: \_\_\_\_\_

Prior application information: Examiner \_\_\_\_\_

Group Art Unit: \_\_\_\_\_

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 19. CORRESPONDENCE ADDRESS

Customer Number or Bar Code Label **21003**  
(Insert Customer No. or Attach bar code label here) or  Correspondence address below

|         |  |           |  |          |
|---------|--|-----------|--|----------|
| Name    |  |           |  |          |
| Address |  |           |  |          |
| City    |  | State     |  | Zip Code |
| Country |  | Telephone |  | Fax      |

|                   |                             |                                   |                 |
|-------------------|-----------------------------|-----------------------------------|-----------------|
| Name (Print/Type) | Carmella L. Stephens        | Registration No. (Attorney/Agent) | 41,328          |
| Signature         | <i>Carmella L. Stephens</i> |                                   | Date 02/12/2002 |

**Addendum Sheet 1****\*Question 4 Addendum**4.a. Drawings are  formal  informal**\* Question 5 Addendum**5.c.  An unsigned oath or declaration is included.**\* Question 8 Addendum**8.d.  A sequence submission will follow.**\* Question 9 Addendum**9.a.  Assignment documents will follow.9.b.  Assignment documents have been filed in parent application No.**\* Question 11 Addendum**11.a.  English translation will follow.**\* Question 12 Addendum**12.a.  Copies of IDS citations will follow.**\* Question 15 Addendum**15.a.  Certified copies of priority documents will follow.15.b.  Certified copies of priority documents have been filed in parent application No.

Use the space below for additional information

Title (continued):

METHODS AND COMPOSITIONS FOR USE IN SPLICEOSOME MEDIATED RNA  
TRANS-SPlicing

## Addendum Sheet 2

18a. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

Continuation       Divisional       Continuation-in-part (CIP)      of prior application No.: \_\_\_\_\_  
Prior application information:      Examiner \_\_\_\_\_      Group Art Unit: \_\_\_\_\_

18b. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

Continuation       Divisional       Continuation-in-part (CIP)      of prior application No.: \_\_\_\_\_  
Prior application information:      Examiner \_\_\_\_\_      Group Art Unit: \_\_\_\_\_

18c. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

Continuation     Divisional     Continuation-in-part (CIP)    of prior application No.: \_\_\_\_\_  
Prior application information: \_\_\_\_\_ Examiner \_\_\_\_\_ Group Art Unit: \_\_\_\_\_

Amend the specification by inserting before the first line the sentence(s)

"This application is a  Continuation  Divisional  Continuation-in-part (CIP) of:

"This application is based upon:  
prior application No.: , incorporated by reference herein,

which is a  Continuation  Divisional  Continuation-in-part (CIP) of:

which is based upon:  
prior application No. , incorporated by reference herein,

which is a  Continuation  Divisional  Continuation-in-part (CIP) of:

which is based upon:  
prior application No. , incorporated by reference herein,

which is a  Continuation  Divisional  Continuation-in-part (CIP) of:

which is based upon:  
prior application No. , incorporated by reference herein,

which is a  Continuation  Divisional  Continuation-in-part (CIP) of:

which is based upon:  
prior application No. , incorporated by reference herein,

which is a  Continuation  Divisional  Continuation-in-part (CIP) of:

which is based upon:  
prior application No. , incorporated by reference herein,

Priority under 35.U.S.C. §119 is claimed based upon the following applications.

### Foreign Applications:

Country: \_\_\_\_\_

Serial No:

Filing Date:

Country: \_\_\_\_\_

Serial No:

Filing Date:

Country: \_\_\_\_\_

Serial No:

Filing Date:

### Provisional Applications:

Serial No: \_\_\_\_\_

Filing Date:

Serial No: \_\_\_\_\_

**Filing Date:**

Serial No: \_\_\_\_\_

**Filing Date:**

**CERTIFICATION UNDER 37 C.F.R. 1.8(a) OR 1.10\***

*(When using Express Mail, the Express Mail label number is mandatory; Express Mail Certification is optional.)*

I hereby certify that, on the date shown below, this correspondence is being:

**MAILING**

deposited with the United States Postal Service in an envelope addressed to the Assistant Commissioner for Patents, Washington D.C. 20231.

**37 C.F.R. 1.8(a)**

**37 C.F.R. 1.10\***

with sufficient postage as first class mail.

as "Express Mail Post Office to Address"  
Mailing Label No. EU206386407US (mandatory)

Signature

Carmella L. Stephens

Date: February 12, 2002

**Carmella L. Stephens**  
(type or print name of person certifying)

**\*WARNING:** *Each paper of fee filed by "Express Mail" must have the number of the "Express Mail" mailing label placed thereon prior to mailing 37 C.F.R. 1.10(b). Since the filing of correspondence under § 1.10 without the Express Mail label thereon is an oversight that can be avoided by the exercise of reasonable care, requests for waiver of this requirement will not be granted on petition. "Notice of Oct. 24, 1996, 60 Fed. Reg. 56,439, at 56,442.*

20020101-000000000000

# FEE TRANSMITTAL

## for FY 2001

Patent fees are subject to annual revision.

**TOTAL AMOUNT OF PAYMENT** **(\\$)**

### Complete If Known

|                      |                    |
|----------------------|--------------------|
| Application Number   | To be assigned     |
| Filing Date          | 02/11/2002         |
| First Named Inventor | Mitchell et al.    |
| Examiner Name        | To be assigned     |
| Group Art Unit       | To be assigned     |
| Attorney Docket No.  | A34759 069906.0102 |

### METHOD OF PAYMENT

1.  The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:  
 Deposit Account Number **02-4377**  
 Deposit Account Name **Baker Botts LLP**  
 Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17  
 Applicant claims small entity status. See 37 CFR 1.27

2.  **Payment Enclosed:**  
 Check  Credit card  Money Order  Other

### FEE CALCULATION (continued)

#### 3. ADDITIONAL FEES

| Large Entity Fee (\$) | Small Entity Fee (\$) | Fee Description  | Fee Paid |
|-----------------------|-----------------------|--|----------|
| 130                   | 65                    | Surcharge - late filing fee or oath  |          |
| 50                    | 25                    | Surcharge - late provisional filing fee or cover sheet                     |          |
| 130                   | 130                   | Non-English specification  |          |
| 2,520                 | 2,520                 | For filing a request for ex parte reexamination                            |          |
| 920*                  | 920*                  | Requesting publication of SIR prior to Examiner action                     |          |
| 1,840*                | 1,840*                | Requesting publication of SIR after Examiner action                        |          |
| 110                   | 55                    | Extension for reply within first month                                     |          |
| 400                   | 200                   | Extension for reply within second month                                    |          |
| 920                   | 460                   | Extension for reply within third month                                     |          |
| 1,440                 | 720                   | Extension for reply within fourth month                                    |          |
| 1,960                 | 980                   | Extension for reply within fifth month                                     |          |
| 320                   | 160                   | Notice of Appeal   |          |
| 320                   | 160                   | Filing a brief in support of an appeal                                     |          |
| 280                   | 140                   | Request for oral hearing   |          |
| 1,510                 | 1,510                 | Petition to institute a public use proceeding                              |          |
| 110                   | 55                    | Petition to revive - unavoidable   |          |
| 1,280                 | 640                   | Petition to revive - unintentional   |          |
| 1,280                 | 640                   | Utility issue fee (or reissue)   |          |
| 460                   | 230                   | Design issue fee   |          |
| 620                   | 310                   | Plant issue fee  |          |
| 130                   | 130                   | Petitions to the Commissioner  |          |
| 50                    | 50                    | Processing fee under 37 CFR 1.17(q)  |          |
| 180                   | 180                   | Submission of Information Disclosure Stmt                                  |          |
| 40                    | 40                    | Recording each patent assignment per property (times number of properties) |          |
| 740                   | 370                   | Filing a submission after final rejection (37 CFR § 1.129(a))              |          |
| 740                   | 370                   | For each additional invention to be examined (37 CFR § 1.129(b))           |          |
| 740                   | 370                   | Request for Continued Examination (RCE)                                    |          |
| 900                   | 900                   | Request for expedited examination of a design application                  |          |

Other fee (specify) \_\_\_\_\_

\*Reduced by Basic Filing Fee Paid

**SUBTOTAL (3) (\$ 0**

### FEE CALCULATION

#### 1. BASIC FILING FEE

| Large Entity Fee (\$) | Small Entity Fee (\$) | Fee Description        | Fee Paid |
|-----------------------|-----------------------|------------------------|----------|
| 740                   | 370                   | Utility filing fee     | 370      |
| 330                   | 165                   | Design filing fee      |          |
| 510                   | 255                   | Plant filing fee       |          |
| 740                   | 370                   | Reissue filing fee     |          |
| 160                   | 80                    | Provisional filing fee |          |

**SUBTOTAL (1) (\$ 370**

#### 2. EXTRA CLAIM FEES

|                    | Extra Claims    | Fee from below | Fee Paid |
|--------------------|-----------------|----------------|----------|
| Total Claims       | 33 - 20 ** = 13 | x 9            | = 117    |
| Independent Claims | 4 - 3 ** = 1    | x 42           | = 42     |
| Multiple Dependent |                 | 140            | = 140    |

| Large Entity Fee (\$) | Small Entity Fee (\$) | Fee Description  |
|-----------------------|-----------------------|--|
| 18                    | 9                     | Claims in excess of 20                                     |
| 84                    | 42                    | Independent claims in excess of 3                          |
| 280                   | 140                   | Multiple dependent claim, if not paid                      |
| 84                    | 42                    | ** Reissue independent claims over original patent         |
| 18                    | 9                     | ** Reissue claims in excess of 20 and over original patent |

**SUBTOTAL (2) (\$ 299**

\*\*or number previously paid, if greater; For Reissues, see above

### SUBMITTED BY

Complete (if applicable)

|                   |                             |                                   |        |           |                |
|-------------------|-----------------------------|-----------------------------------|--------|-----------|----------------|
| Name (Print/Type) | Carmella L. Stephens        | Registration No. (Attorney/Agent) | 41,328 | Telephone | (212) 408-2539 |
| Signature         | <i>Carmella L. Stephens</i> |                                   |        | Date      | 02/12/2002     |

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.